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ABSTRACT

Presented is a description of how DEEP (Developmental Economic Education Program) monitors activity and achievements to ensure that objectives are met effectively and efficiently, and that evidence of achievement is available for reports. The purposes of DEEP management and accountability procedures are: (1) to maintain both long term and short range project plans; (2) to keep DEEP commitments to New Mexico educators and others; (3) to collect and report evidence of DEEP achievements; (4) to relate DEEP achievements to costs; (5) to monitor and project expenditures of DEEP funds; and (6) to periodically assess client reaction to DEEP. The general philosophy of DEEP is that both effective management and efficient accountability require that project objectives be clear, with specific indicators of achievement for each. Further, the activity necessary to achieve each objective must be clearly specified and must be distinct from activity for all other objectives. Given this type of project plan, progress toward objectives can be documented in relation to resource consumption using a simple set of procedures which can be carried out by the project secretary. The function of management is to monitor achievement and resource consumption, taking action where serious discrepancies from plans occur. In a project with a small staff, it is critical that this be done efficiently since time spent in management and accountability is not spent in direct service to clients. (Author)

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MANAGEMENT AND ACCOUNTABILITY PROCEDURES

DEEP - THE NEW MEXICO STATE FACILITATOR

March 22, 1978

I. INTRODUCTION AND PHILOSOPHY

This document describes how DEEP monitors activity and achievements to ensure that objectives are met effectively and efficiently, and that evidence of achievement is available for reports. The purposes of DEEP management and accountability procedures are:

- to maintain both long term and short range project plans;
- to keep DEEP commitments to New Mexico educators and others;
- to collect and report evidence of DEEP achievements;
- to relate DEEP achievements to costs;
- to monitor and project expenditures of DEEP funds; and
- to periodically assess client reaction to DEEP.

The general philosophy of DEEP is that both effective management and efficient accountability require that project objectives be clear, with specific indicators of achievement for each. Further, the activity necessary to achieve each objective must be clearly specified and must be distinct from activity for all other objectives. Given this type of project plan, progress toward objectives can be documented in relation to resource consumption using a simple set of procedures which can be carried out by the project secretary. The function of management is to monitor achievement and resource consumption, taking action where serious discrepancies from plans occur. In a project with a small staff it is critical that this be done efficiently since time spent in management and accountability is not spent in direct service to clients.

SE 026 549

II. THE DEEP STRATEGY

The specific procedures used by DEEP were derived from its strategy. This strategy will be described briefly here, to provide a context for understanding the specific management and accountability procedures.

A. Awareness and Involvement. The objective of this component is that administrators, teachers, and other staff of New Mexico schools will decide to work with DEEP, based on an understanding of its objectives and processes.* This objective is accomplished through orientation presentations at schools, other agencies, and state-wide meetings. A newsletter is published periodically and sent to staff of all school districts as well as other educators in the state. Achievement of this objective is assessed following an orientation visit to a school; if the district wishes to proceed to the next step, the examination of nationally validated programs for possible adoption, this indicates achievement of the objective.

B. Examination and Adoption Decision. The objective of this component is that New Mexico educational agencies will examine and decide whether to adopt nationally validated programs in relation to local needs. This objective is accomplished by maintaining a collection of materials on validated programs, by summarizing this information in relation to the interests of potential adopters, and by visiting potential adopters to present information on programs of interest. Awareness presentations by developers of selected validated programs are arranged for state meetings (e.g. Title I, Title IV). Potential adopters seriously interested in a certain program will be encouraged to communicate directly with the program developers and

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* Objectives in the DEEP plan contain specific projections for the number of educational agencies reaching each objective. These numbers, which change for each year of project operation, are omitted here for clarity.

with previous adopters in New Mexico; telephone communication will be supported, and the cost of visits shared when important to the adoption decision. Achievement of this objective is indicated by a formal agency decision to adopt a particular program, or a definite decision not to adopt at this time.

C. Planning the Adoption. The objective of this component is that the adopting agency and DEEP will develop a written plan for adoption. This objective is accomplished by obtaining any needed information, meeting with the adopting agency to prepare the adoption plan, and confirming it with the developers of the adopted program. Achievement of this objective is indicated by the existence of a plan acceptable to the adopting agency, the state facilitator, and the developers of the adopted program.

D. Preparing for Operation. The objective of this component is that the adopting agency will prepare for operation of the adopted program with the assistance of DEEP and the developer/demonstrator. This objective is achieved by preparation activities described in the adoption plan, including provision of training for staff, acquisition of materials, and development of proposals for outside funding. Achievement of this objective is indicated by the beginning of actual program operation.

E. Program Operation and Evaluation. The objective of this component is that the adopting agency will operate the program and evaluate its impact. This objective is achieved by program operation activities described in the adoption plan, including periodic follow-up by DEEP, visits by DEEP where requested, follow-up visits by the developer of the adopted program, and communication with other adopters of the same program. Based on information provided by the adopting site, DEEP will also prepare a statement of impact

for each adoption and disseminate this to the adopting agency and the program developer. Achievement of this objective is indicated by the completion of the impact statement.

F. State and National Liaison. The objective of this component is that DEEP will develop and maintain contact with relevant agencies in New Mexico and the nation in support of NDN activities. This objective is achieved by distributing DEEP brochures and newsletters, developing personal contacts, attending meetings, and engaging in cooperative efforts relevant to DEEP and NDN goals. Achievement of this objective will be indicated by the number of liaison contacts and the results of each.

G. Management and Accountability. The objective of this component is that DEEP will effectively manage its resources and activity, and will evaluate the achievement of its objectives. This objective is achieved by the procedures described in this document. In addition, DEEP has formed an Advisory Board which meets to review and approve project plans. DEEP also submits all progress reports required by its contract, sharing these with Advisory Board members and other appropriate persons. Effective management is indicated by the efficient achievement of other project objectives; effective evaluation is indicated by collection, aggregation, and succinct reporting of performance information.

III. MANAGEMENT AND ACCOUNTABILITY PROCEDURES

A. The DEEP Planning Process. Long term plans for DEEP are developed as part of the proposal, using a "Resources-Activity-Objectives-Indicators" format (attachment 1). This plan states each project objective and the indicator of its achievement; it also indicates the activity necessary to achieve each objective and the resources allocated to it. This information clearly specifies intentions so that management can easily detect discrepancies between intended operations and actual events. Short range plans for the project are kept on a large calendar accessible to all DEEP staff; this indicates upcoming visits, training sessions, and other events of note.

B. The Contact Management Process. It is critical to keep track of the interaction with each client agency, liaison agency, and NDN member. For this reason DEEP has established separate alphabetical files for New Mexico schools, other New Mexico agencies, developers of NDN validated programs, other state facilitators, and other contacts. A "Contact Report Form" (attachment 2) is used to document each contact with anyone, noting any follow-up needed. Contact Report Forms with no follow-up needed are filed immediately, while those which require follow-up are kept in a work basket for action. This ensures that all interaction is documented, and that any commitments made are kept.

C. The Achievement Documentation Process. Each objective has an indicator file which contains an indicator list. Each instance of achievement is entered on the indicator list with pertinent information (attachment 3). This allows the current state of progress toward each goal to be assessed at any time. Each four weeks achievement is plotted on the "Indicator/Staff Time Plot" (attachment 4) to allow comparison of actual progress with what was expected.

D. The Staff Time Management Process. Each DEEP staff member keeps a personal log of time spent on project activity, in a format that makes sense to him or her. Time use is reported each four week period totalled by week for each objective of each component using the "Staff Time Use Report" (attachment 5). With the small staff of DEEP, persons are not formally assigned to major tasks but rather assignments are fluid and related to immediate needs. For this reason, total staff time devoted to each objective during each four-week project period is determined and plotted on the "Indicator/Staff Time Plot" (attachment 4). Informal examination of each person's reports by the Project Director indicates if time is being used as intended.

E. The Process for Relating Achievement to Resources. The major resource which can be directly controlled is staff time. For this reason, the "Indicator/Staff Time Plot" (attachment 4) also plots proportion of time used for each objective against proportion of indicators achieved. This plot indicates if objectives are being achieved at about the desired cost, below the desired cost, or above the desired cost. A more sophisticated procedure would weight staff time by the cost of each person, and also include other assignable direct costs (travel, for example) but this appeared too time consuming for DEEP.

F. The Fiscal Management Process. Since DEEP is located at the University of New Mexico, the Office of Contract and Grant Accounting provides many services; in particular, DEEP receives a computer printout of expenditures by line item about fifteen days after the end of each month. The project secretary verifies the accuracy of this printout, looking for errors in posting or other discrepancies. A "Budget Projection" (attachment 6) is

then prepared with the balance shown on the computer printout in the first column. Additional expenditures committed up to the end of the year are then determined and entered in the second column; this includes salaries projected to the end of the funding period, travel commitments, and other items. The difference is then the working balance remaining for additional activity beyond that already committed. The Project Director can then evaluate the budgetary impact of alternative planned activity easily by subtracting additional anticipated expenditures and determining the final balance at this time. The projection is done monthly, with somewhat more care taken as the end of the funding period approaches. Notes are attached showing how each committed and anticipated amount was obtained.

G. The Process for Collecting Client Opinions of DEEP. A survey of active clients of DEEP is conducted at least once each year, using a postcard return format (attachment 7). This is sent, with a cover letter explaining its purpose, to all agency staff persons who have had any substantial involvement with DEEP. Returns are anonymous, and are analyzed to reveal the opinions of various DEEP client groups.

RESOURCE/ACTIVITY/OBJECTIVES/INDICATORS for _____ date____ revision____

resources	activity	objectives	indicators

Action deadline _____

action completed_____

attachment 2

CONTACT REPORT FORM

Name of Person Contacted:_____Date:_____

Contact was (__) initiated by_____ (__) received by_____

Contact's Affliiation:

(___) OE (___) SF (___) DD (___) SEA

(___)LEA or (___) PNS (__) elem. (__) jr. high (__) sr. high

(___) other (Specify_____)

Contact's Position/Role:_____

Organization:_____

Address:_____

_____

Phone:_____

Nature of discussion/background/situation:_____

_____

_____

_____

_____

_____

Follow-up Plan:_____

_____

_____

_____

_____

Actions taken:_____

_____

_____

DEEP - The New Mexico State Facilitator - form #101.2

Indicator List for AWARENESS AND INVOLVEMENT

POTENTIAL ADOPTER	date	ORIENTATIONS number of persons			DECISIONS	
		admin	teacher	other	yes	no

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attachment 2a

Indicator List for EXAMINATION AND DECISION TO ADOPT

POTENTIAL ADOPTER	PROGRAMS CONSIDERED	VISITS & PRESENTATIONS			ADOPTION DECISION	
		by DEEP	by program	by adopter	yes	no

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attachment 3b

attachment 3c

AWARENESS PRESENTATIONS IN NEW MEXICO

PROGRAMS PRESENTED	MEETING TITLE, LOCATION, DATE	PARTICIPANTS

attachment 3d

Indicator List for PLANNING THE ADOPTION

ADOPTING AGENCY	ADOPTED PROGRAM	PLANNING VISITS	PLAN APPROVED

Indicator List for PREPARING FOR OPERATION

DISTRICT	ADOPTED PROGRAM	ACTIVITY			BEGAN OPERATION
		material	training	proposal	

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attachment 3e

Indicator List for PROGRAM OPERATION AND EVALUATION

DISTRICT	ADOPTED PROGRAM	ACTIVITY			IMPACT STATEMENT COMPLETE
		DEEP visit	developer visit	adopter meeting	

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attachment 1f

attachment 3g

Indicator List for LIAISON

MEETING	DATE	AGENCIES - persons

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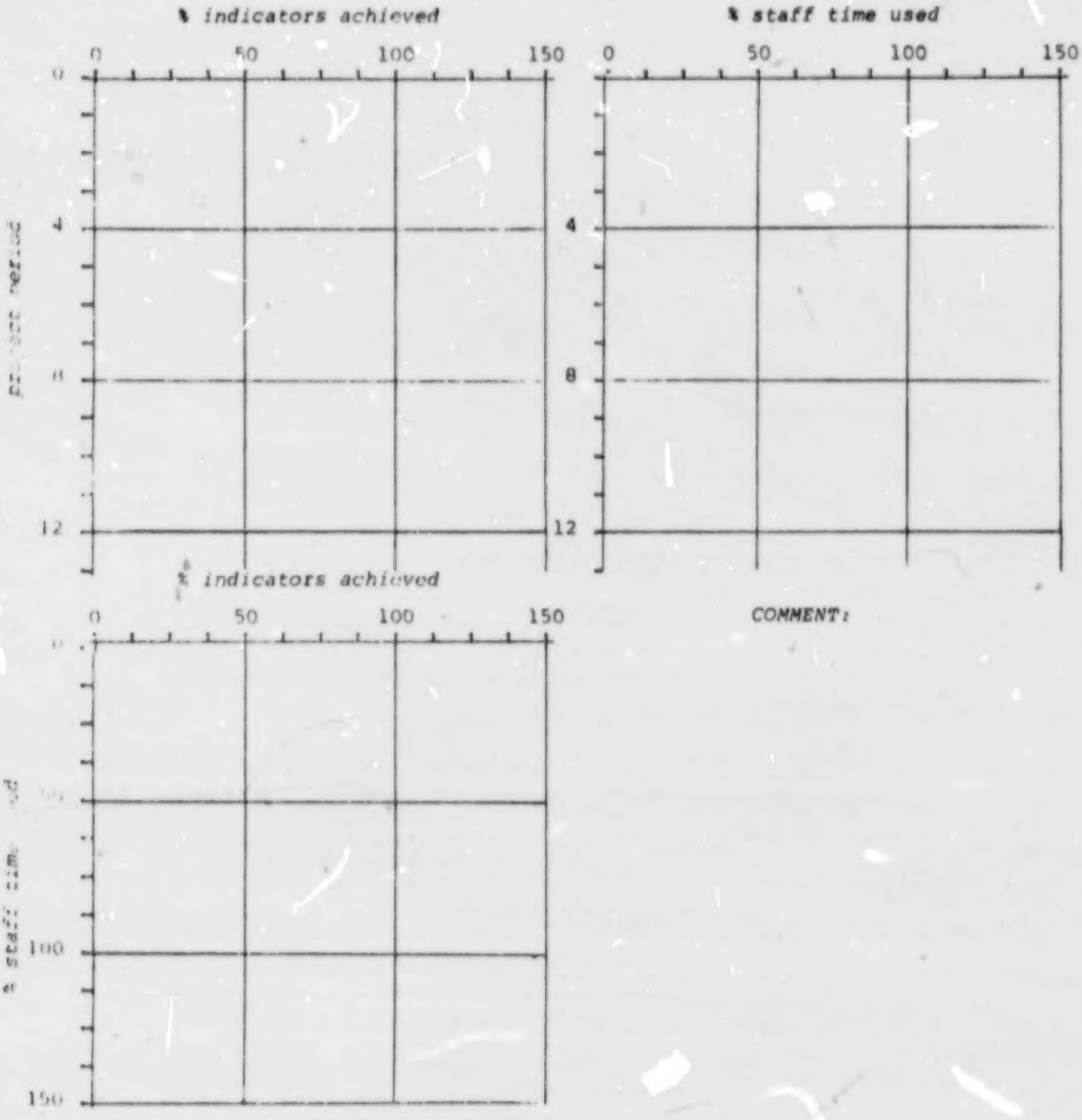
attachment 4

INDICATOR/STAFF TIME PLOT for _____



COMMENT:

attachment 5

STAFF TIME USE REPORT

name _____ date _____

period #_____ from _____ to _____

manhours by week

GOAL	1	2	3	4	total
A. Awareness and involvement					
B. Examination and decision to adopt					
C. Planning the adoption					
D. Preparing for the operation					
E. Program operation and evaluation					
F. State and national liaison					
G. Management and accountability					
TOTAL ACTIVITY					

DEEP - The New Mexico State Facilitator - form #102.1

BUDGET PROJECTION FOR_____ by_____ date_____

line item	cleared balance	-committed expenditures	=working balance	-anticipated expenditures	=projected final balance
Total direct					
Indirect costs					
TOTAL COSTS					

COMMENTS:

DRAFT

attachment 7

Dear DEEP client:

To improve our contribution to the schools of New Mexico, we need your judgement of the value of our services. Please take a few minutes to answer the questions on the back and inside, refold the card with our address showing and mail the card back to us.

Your name will be removed as soon as we receive your input. That way we can remind those who forget to return the card.

Thank you for your help!

Lilly Kilot
Director, DEEP

NOTE: If undeliverable, return postage guaranteed

address label here

DEEP
College of Education
University of New Mexico
Albuquerque
New Mexico 87131

I am a ( )administrator ( )teacher ( )other educator in a ( )public school. ( )private school. ( )other education agency.

For each DEEP service listed below, check those services you received in the ✓ column. Then rate each service you received in the "value" column. Give the service a "+" if it was of value to you and a "++" if it was of great value. Give each service you received a "-" if it was not very useful and a "--" if it was completely useless to you. Rate the value "0" if you are neutral or have no opinion. Finally, put a ✓ in the "continue" column for those services you believe DEEP should continue to provide.

✓	*DEEP service*	*value*	*continue*
	1. Mailing newsletters on DEEP to my school		
	2. Visit to my school to explain DEEP to staff		
	3. Free copy of Educational Programs that Work		
	4. Showing us materials on particular programs		
	5. Visit by program developers to our school		
	6. Sharing the cost of our travel to program site		
	7. Attending presentations by program developer at a conference		
	8. Developing with us a plan for adopting a program		

please continue inside

✓	DEEP Service	value	continue
	9. Providing staff of my school free inservice training in the program we adopted		
	10. Providing my school a free copy of all program materials		
	11. Providing my school help in writing a proposal to fund the adoption		
	12. A DEEP visit after we began to use the adopted program		
	13. A visit by the program developers after we began to use the adopted program		
	14. Communication with other adopters of the same program		
	15. DEEP wrote a brief statement of impact of the adopted program in my school		

Please make any comments regarding DEEP or its services here _____

_____

_____

_____

_____

_____

_____

DEEP
College Of Education
University of New Mexico
Albuquerque, New Mexico 87131

Diffusing Exemplary Educational Practices
Department of Educational Foundations
College of Education
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